

**BY ORDER OF THE COMMANDER
AIR FORCE RESERVE COMMAND**



AIR FORCE INSTRUCTION 33-322

**AIR FORCE RESERVE COMMAND
Supplement 1**

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Communications and Information

RECORDS MANAGEMENT PROGRAM

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OPR: HQ AFRC/SCTI (MSgt Dale Hollins)

Certified by: HQ AFRC/SC
(Col Frank K. Brooks, Jr.)

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The OPR for this supplement is HQ AFRC/SCTI (MSgt Hollins). This supplement implements and extends the guidance of Air Force Instruction (AFI) 33-322, 7 October 2003. The AFI is published word-for-word without editorial review. This supplement describes Air Force Reserve (or unit designator) procedures to be used in conjunction with the basic instruction. Upon receipt of this integrated supplement discard the standalone Air Force basic.

SUMMARY OF REVISIONS

This supplement is substantially revised and must be completely reviewed. The revision included what is required at each level of responsibility in the management of electronic records. This gives the RM more empowerment in managing permission groups and collaborating authority with Network Control Center on electronic records. It also mandates that everyone attend records training every 2 years to stay current. Also, updated information has been added for the new Web-RIMS.

3.3.5. (Added) Within the AFRC Chief of Communications and Information (or equivalent function) of ARPC, NAF, wings and GSUs will designate a RM to administer the records program.

5.2. Will provide training to newly appointed Numbered Air Force (NAF) Records Manager within 90-days of appointment. The Functional Area Records Manager (FARM) and Records Custodian (RC) training guide is posted and available for download on Command Records Manager (CRM) web site. Also the CRM cannot be appointed as a FARM.

5.2.1. (Added) Records Management refresher training is required every 2 years for all individuals responsible for records.

5.3. Since Document Imaging Systems have become so affordable, approving the system will reside with the RM and be managed the same as all other electronic records. Until a certified commercial record management application (RMA) has been implemented, electronic records will be maintained in accordance with AFRC Electronic Records Management Interim Solution Guide. The guide is available on CRM web

site. Evaluate and approve proposals for enterprise automated information systems storing electronic records with a 10 year or less retention. For systems containing records with a retention period over 10 years, forward request to the AF RM for evaluation and approval

5.4.1. Records disposition recommendations will be routed through the NAF/ARPC. The NAF/ARPC will submit the AF Form 525 and supporting documents to the CRM for processing.

5.6. The CRM will review the NAF and ARPC every 24 months.

5.6.1. (Added) Will evaluate the electronic storage of records through the use of the electronic file plan.

5.9. (Added) Analyze, approve or disapprove requests to convert paper records to another record media (digital, microfiche, microfilm, etc.).

5.10. (Added) Evaluate the Command, Control, Communications, Computer, and Intelligence Support Plans for electronic records management compliance and ensure records created and managed by the system are properly scheduled.

5.11. (Added) Implements the AF mandated Web-RIMS program with established hierarchy directory structure and monitor compliance.

6. Base Records Manager (RM). The Information and Knowledge Management Specialist is the RM. Regional Support Group RMs provide records management support to all subordinate units and geographically separated units (GSU) in their chain of command. Support includes all required training and staff assistance visits (SAVs). Wing/group RMs support includes all required training and staff assistance visits (SAVs) along with support to their subordinate units. Posturing for implementation and management of electronic records management systems, RSG/wing/group RMs must be qualified in workgroup management. (WM).

6.1.3.1. (Added) Creates and maintains hierarchy directory structure on storage area network (SAN); provides the network control center (NCC) the names and required permissions to establish permission groups for the RM, FARM/WM, and global groups; and manages/monitors electronic file plan creation. Responsible for deleting inactive files, but may delegate to FARMS or RCs. If delegated, RM will monitor the directory to ensure records are deleted in accordance with disposition schedules in Web-RIMS. Complies with guidance on AFMAN 37-123/AFRC Sup and provides useable inserts of information to FARMS on *AFI 33-119, Air Force Messaging*. If RM does not possess WM skills, WM support is required according to *AFI 33-115V1, Network Operations*, Attachment A3.3.1.

6.1.3.2. (Added) Base/Tenant RM validates execution of records management principles and destruction of all eligible records prior to NCC submitting request for additional storage to the Network Control Center.

6.1.3.3. (Added) Upon request from the NCC validates need for additional storage. Evaluates record keeping procedures to ensure all eligible records are destroyed. Issues instructions/reminders to FARM/RC to purge perpetual files.

6.1.3.4. (Added) In a distributed server environment, ensures the FARM/RC creates electronic file plan structure on office or organization servers and establish permission groups to protect data from unauthorized disclosure or deletion.

6.1.4. RM will ensure proposals comply with criteria and standards established in *DOD-STD 5015.2-R, Department of Defense Design Criteria Standard for Records Management Application Functional Base-line Requirements*. Also, evaluates and recommends changes to system design to ensure data/

records produced and/or maintained by the system meet record keeping legal requirements. Ensures locally developed databases, along with input/output records, are properly scheduled in accordance to AFI 37-138, paragraph 2.11.

6.1.5. Maintains Web-RIMS office information to reflect the status on offices of record.

6.1.7. Ensures the host base records manager coordinates on the local base Disaster and Recovery Plan to account for the Vital Records Program. This will ensure their records are properly protected and the best opportunity for recovery.

6.1.11. The FARM SAV includes reviewing a representative number of their offices of records. Use the AFRC IMT 253, **Report of Records Management Staff Visit**. Enter the last SAV dates in Web-RIMS, excluding date of follow-up visit. Briefs the chief of the office on the results of the visit. Schedules follow-up visits when serious discrepancies are identified.

6.1.11.1. (Added) The RC will forward a completed report to the RM through the FARM.

6.1.11.2. (Added) Focal point for issues regarding *AFI 33-321, Authentication of Air Force Records*.

6.2. Does not apply to AFRC tenant units except where required.

6.3.1. Records Management refresher training is required every 2 years for all individuals responsible for records.

6.3.1.1. (Added) Tenant unit RMs may schedule individuals to attend records management training administered by the host as negotiated in their local support agreement and will also track attendances. AFRC RMs provides refresher training on an as-needed basis. The training should consist of a classroom type environment and the slides as a basis from the CRM website or direct hands-on assistance within the office location.

6.3.2. If the host base training is command-unique, AFRC unit RMs conduct the training. Provides records management, Privacy Act, and Freedom of Information Act refresher training. All training will include electronic record management methods; FARMS and RCs will receive instructions for installing and utilizing Web-RIMS. A training guide is available on the CRM web site.

6.3.4. Ensure training dates for each records custodian are inputted into Web-RIMS. Refresher training is required every 2 years.

7. Functional Area Records Managers (FARM). Notify RM of appointment within 30-days. If the FARM does not possess WM skills, WM support is required according to AFI 33-115V1, attachment A3.3.1. A FARM is required unless CRM approves a memorandum waiver for that office. With concurrence of the RM, when assistant FARMS in large functions are authorized, they report through the primary FARM. The staff office chief sends a copy of the FARM appointment memorandum to the RM within 30 workdays of appointment or change. Include the name, grade, and duty telephone number. The FARMS may be from any career field, but will have records management responsibility over multiple offices of record within a functional activity.

7.4. Provides the RM a copy of their SAV schedule. Briefs the chief of the office on the results of the SAV. Schedules follow-up visits when serious discrepancies are identified. Uses AFRC IMT 253, **Report of Records Management Staff Visit**, to evaluate compliance with the program directives and to ensure records are maintained and disposed of according to record management directives. Each office of record should file the initial and follow-up SAVs. Also Evaluates the electronic storage or records by reviewing the use of the electronic file plan. Visits new offices of record within 90 days of establishment.

7.8. (Added) Reviews unit-developed databases for compliance with records management and Privacy Act rules.

7.9. (Added) Manages electronic records:

7.9.1. (Added) Creates organizational directory structure for each office of record under his/her purview. Oversees file folder creation to ensure compliance with Air Force record keeping procedures.

7.9.2. (Added) Notifies RM to establish global permission groups.

7.9.3. (Added) Establishes folder level permission/access rights, as determined by CORs. (NOTE: FARMs, with concurrence of the WM (If not one and the same), may delegate to office RCs.)

7.9.4. (Added) Responsible for completing SF 135s and having records ready for staging. (FARM will contact RM for appointment for staging)

7.10. (Added) Exercises oversight for the organization's strategies for vital records restoration and recovery and updates procedures accordingly.

7.11. (Added) Completes training referenced in paragraph 6.3 unless the individual has successfully completed training within the preceding 2 years. Refresher training is required every 2 years.

8. Chief of the Office of Record (COR). COR is the ranking person within the functional address symbol (i.e., two, three, four, or five digit office symbol). The duties are inherent and may not be delegated. For functions outsourced to a service contract, the quality assurance evaluator (QAE) is designated as the COR. (Note: Authorization to destroy government records is inherently governmental.)

8.2. Ensures Web-RIMS file plan properly identifies records meeting the definition of a vital record. Establishes a vital records restoration and disaster recovery plan for paper records and office specific automated information systems. For more information on Vital Records, refer to the CRM website:

8.4. Notifies RM/FARM in writing within 30 days when new records custodians are appointed.

8.6. Will submit a print screen copy of the created electronic file plan that should mirror the Web-RIMS file plan as close as possible through folder management, which is used for the storage of electronic records.

8.8. For functions outsourced to a service contract, the quality assurance evaluator (QAE) is designated as the COR. (Note: Authorization to destroy government records is inherently governmental.) CORs are required to attend refresher training every 2 years.

8.9. (Added) Has overall responsibility for reporting any accidental, willful, or unauthorized disposition of or damage to records. Reports any unauthorized or premature destruction or loss of records to the FARM.

8.9.1. (Added) Has overall responsibility for ensuring corrective actions are taken on discrepancies noted during RM or FARM staff assistance visit.

9.2. Responsible for completing SF 135 and properly boxing records that are ready for staging. Also coordinate with FARM and schedule with RM when boxes are ready for staging area.

9.3. To include electronic record keeping.

9.3.1. (Added) Determine which files on Web-RIMS file plan require creation of electronic folders, create file folders in the file directory, determine user groups and folder permission/access rights requirements for each folder, and notify RM/FARM to establish/update permissions as required.

9.3.2. (Added) Coordinate with RM/FARM to obtain approval, according to AFMAN 37-123, to manage electronic records with 10 year or longer retention.

9.3.3. (Added) Notify the FARM of personnel changes and removal of permissions to office electronic folders.

9.3.4. (Added) Conduct a review of perpetual records to determine continued need and value.

10.2. Service contracts and contractors working within a function have the same legal obligations as government employees to maintain program records and records made or received in the performance of a government function according to AF records management policies/procedures.

10.3. Electronic data will be transferred to the government on a software platform that is compatible with existing government systems.

10.6. (Added) Contractors performing duties under a service contract and contractors working under a Contracted Advisory and Assistance Services (CAAS) contract (i.e., working in a function as action officers) are required to receive records management training according to paragraph 6.3.1.

10.7. (Added) Services contracts functions. Disposition/destruction of government records is inherently governmental and requires government official approval. The contractor will provide a list of records eligible for destruction to the contracts QAE. The QAE will coordinate with the organization's RM/FARM to validate disposition instructions against Web-RIMS database.

10.7.1. (Added) Service contracts for records management functions. Contractors will provide a list of records eligible for destruction in staging area to the contracts QAE. QAE will validate disposition instructions against Web-RIMS database and updates released by the command prior to approving destruction.

11. **Support Agreements.** When the Unit is established at a location, during the process of SATAF, the NAF will oversee the establishment of a support agreement with the host base RM for the establishment of Record Keeping to include, staging, training, vital records protection, and the possibility for staff assistance visits. If a support agreement was not accomplished, in the interim, arrangements will be made with the host base for storing files until the agreement is signed i.e. memorandum of agreement.

12.3.2. Prescribed Forms or IMTs: AFRC IMT 253, **Report of Records Management Staff Visit.**

13. (Added) **Numbered Air Force (NAF):** The NAF will provide records management training for all base RMs, which include any AFRC tenant on non-AFRC bases within 90-days of appointment. This training will be managed and updated to provide to newly assigned RMs. The NAF will review GSU and assigned unit records managers at least once every 24 months. When there is not a NAF Records Manager available or appointed, the responsibilities fall on the NAF Chief of Information Systems. Note: The NAF RMs cannot be appointed as the FARM or Records Custodians.

13.1. (Added) Implements the AF mandated Web-RIMS program with established hierarchy directory structure and monitor compliance.

13.2. (Added) Evaluate the Command, Control, Communications, Computer, and Intelligence Support Plans for electronic records management compliance and ensure records created and managed by the system are properly scheduled.

13.3. (Added) Each NAF is required to provide records management support and managing the Web-RIMS program for their perspective units including GSUs. Under unique circumstances another

NAF can request support from another NAF to provide records assistance but only if agreed upon by each respective NAF Chief of Information Systems.

14. (Added) **Network Control Center (NCC):**

14.1. (Added) Upon request from the RM, establishes permission groups for the RM, FARM/WM, and any additional global groups.

14.2. (Added) Provides and monitors storage capability and advises RM of storage limitations.

15. (Added) **Records:**

15.1. (Added) Records required by this supplement will be maintained according to Web-RIMS, AF Records Disposition Schedule.

Abbreviations and Acronyms

HQ—headquarters

NAF—numbered air force

NCC—network control center

QAE—quality assurance evaluator

Web-RIMS—Web Records Information Management System

RDS—records disposition schedule

SAN—storage area network

SATAF—sit activation task force

SCIF—sensitive compartmented information facilities

SUP—supplement

WM—workgroup manager

Terms

Perpetual—Records that are cut off and disposed of after an event occurs, or when no longer needed.

JOHN A. BRADLEY, Lt General, USAF
Commander